



**GREENBLUM & BERNSTEIN, P.L.C.**  
 Intellectual Property Causes  
 1941 Roland Clarke Place  
 Reston, VA 20191  
 (703) 716-1191

Attorney Docket No. P19743

In re application of Takeshi TAKEDA et al.

**Box Non-Fee**

Serial No. : 09/581,528  
 (National Stage of PCT/JP99/00015)  
 I.A. Filed : January 7, 1999  
 Examiner : R. Shukla  
 For : GENE-MUTATED ANIMAL

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231

Sir:

Transmitted herewith is a Preliminary Amendment in the above-captioned application.

- ☐ Small Entity Status of this application under 37 C.F.R. 1.9 and 1.27 has been established by a verified statement previously filed.
- ☐ A verified statement to establish small entity status under 37 C.F.R. 1.9 and 1.27 is enclosed.
- ☐ An Information Disclosure Statement, PTO Form 1449, and references cited.
- ☒ A Cover Letter Accompanying Sequence Listing; a copy of form Notice to Comply with Requirements; a Statement that the Content of the Paper and Computer Readable Copies are the Same; and a diskette containing Sequence listing with paper copies are the same.
- ☒ No additional fee is required.

The fee has been calculated as shown below:

Claims After Amendment	No. Claims Previously Paid For	Present Extra	Small Entity		Other Than A Small Entity	
			Rate	Fee	Rate	Fee
Total Claims: 50	*50	0	x 9=	\$	x 18=	\$0.00
Indep. Claims: 17	**17	0	x 40=	\$	x 80=	\$0.00
Multiple Dependent Claims Presented			+135=	\$	+270=	\$0.00
Extension Fees for Month				\$		\$0.00
Total:				\$	Total:	\$0.00

\*If less than 20, write 20

\*\*If less than 3, write 3

☐ Please charge my Deposit Account No. 19-0089 in the amount of \$\_\_\_\_\_.

☒ A Check in the amount of \$\_\_\_\_\_ to cover the filing/extension fee is included.

☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 19-0089.

☒ Any additional filing fees required under 37 C.F.R. 1.16.

☒ Any patent application processing fees under 37 C.F.R. 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136)(a)(3).

*Steven J. Helmer*  
 Reg. No. 40,475  
 Bruce H. Bernstein  
 Reg. No. 29,027

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P19743.A05



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Masatoshi TAKEDA et al.

Art Unit: 1632

Serial No : 09/581,528  
(National Stage of PCT/JP99/00015)

Examiner: R. Shukla

I.A. Filed : January 7, 1999

For : GENE-MUTATED ANIMAL

**COVER LETTER ACCOMPANYING SEQUENCE LISTING**

Assistant Commissioner of Patents  
Washington, D.C. 20231


Sir:

In response to the Notice to Comply mailed August 9, 2001 (copy submitted herewith), Applicants note that paper and computer readable forms of amino acid and nucleotide sequence listings are being filed herewith. Inasmuch as the period for response was set to expire on September 10, 2001 (September 8, 2001 being a Saturday), Applicants respectfully submit that this sequence listing is being filed in a timely manner. The Commissioner is hereby authorized to charge any necessary fees, such as any necessary extension of time fees, to Deposit Account No. 19-0089.

P19743.A05

Should the Examiner have any questions or comments regarding this matter, the undersigned may be contacted at the below-listed telephone number.

Respectfully submitted,  
Masatoshi TAKEDA et al.

  
\_\_\_\_\_  
Bruce H. Bernstein  
Reg. No. 29,027

Reg No. 45905

September 7, 2001  
GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

# NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant must file the items indicated below within the time period set the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):



- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

## Applicant Must Provide:

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

PatentIn Software Program Support

Technical Assistance.....703-287-0200

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P19743.A06

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Masatoshi TAKEDA et al.

Art Unit: 1632

Serial No : 09/581,528  
(National Stage of PCT/JP99/00015)

Examiner: R. Shukla

I.A. Filed : January 7, 1999

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**STATEMENT THAT THE CONTENT OF THE PAPER AND  
COMPUTER READABLE COPIES ARE THE SAME**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

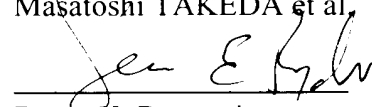
Applicants note that the present application is being filed with paper and computer readable forms of amino acid and nucleotide sequence listings. In accordance with 37 C.F.R. 1.821(f), the undersigned hereby states that the information recorded in the computer readable form is identical to the written sequence listing.

Applicants hereby state that the submission, filed in accordance with 37 C.F.R. 1.821(h), herein does not include new matter.

P19743.A06

If there are any comments or questions, the undersigned may be contacted at the below-listed telephone number.

Respectfully Submitted,  
Masatoshi TAKEDA et al.

  
Bruce H. Bernstein  
Reg. No. 29,027

Reg No. 40905

September 7, 2001  
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